

09-09-02 28749

**TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT**  
(Under 37 CFR 1.97(b) or 1.97(c))

Docket No.  
UC97-156-7

In Re Application Of: **OLAV SOLGAARD ET AL.**

# 20  
9/26/02  
P7R

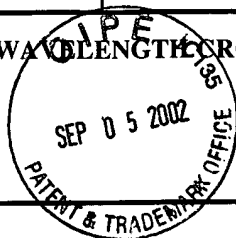
Serial No.  
09/813,446

Filing Date  
MARCH 20, 2001

Examiner  
LEE, JOHN D.

Group Art Unit  
2874

Title: **MULTI-WAVELENGTH CROSS-CONNECT OPTICAL SWITCH**



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Address to:

Assistant Commissioner for Patents  
Washington, D.C. 20231

**37 CFR 1.97(b)**

1. ☐ The Information Disclosure Statement submitted herewith is being filed within three months of the filing of a national application other than a continued prosecution application under 37 CFR 1.53(d); within three months of the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; before the mailing of a first Office Action on the merits, or before the mailing of a first Office Action after the filing of a request for continued examination under 37 CFR 1.114.

**37 CFR 1.97(c)**

2. ☒ The Information Disclosure Statement submitted herewith is being filed after the period specified in 37 CFR 1.97(b), provided that the Information Disclosure Statement is filed before the mailing date of a Final Action under 37 CFR 1.113, a Notice of Allowance under 37 CFR 1.311, or an Action that otherwise closes prosecution in the application, and is accompanied by one of:

☒ the statement specified in 37 CFR 1.97(e);

OR

☐ the fee set forth in 37 CFR 1.17(p).

**TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT**

(Under 37 CFR 1.97(b) or 1.97(c))

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2874

MULTI-WAVELENGTH CROSS-CONNECT OPTICAL SWITCH

**Payment of Fee**

(Only complete if Applicant elects to pay the fee set forth in 37 CFR 1.17(p))

- ☐ A check in the amount of \_\_\_\_\_ is attached.
- ☐ The Assistant Commissioner is hereby authorized to charge and credit Deposit Account No. \_\_\_\_\_ as described below. A duplicate copy of this sheet is enclosed.
- ☐ Charge the amount of \_\_\_\_\_
- ☐ Credit any overpayment.
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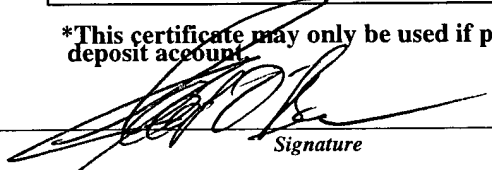
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Dated: September 5, 2002

  
Signature  
JOHN P. O'BANION, REG. NO. 33,201  
O'BANION & RITCHEY LLP  
400 CAPITOL MALL, SUITE 1550  
SACRAMENTO, CA 95814  
(916) 498-1010

CC:

**CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)**Applicant(s): **OLAV SOLGAARD ET AL.**

Docket No.

UC97-157-7

Serial No.

09/813,446

Filing Date

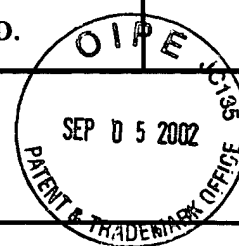
MARCH 20, 2001

Examiner

LEE, JOHN D.

Group Art Unit

2874

Invention: **MULTI-WAVELENGTH CROSS-CONNECT OPTICAL SWITCH**

I hereby certify that the following correspondence:

Transmittal of Information Disclosure Statement (Page 1 &amp; 2)

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Applicant(s): OLAV SOLGAARD ET AL.

Docket No.

UC97-157-7

Serial No.

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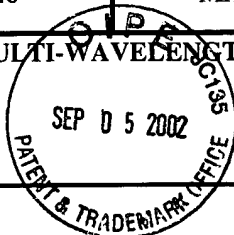
LEE, JOHN D.

Group Art Unit

2874

Invention:

MULTI-WAVELENGTH CROSS-CONNECT OPTICAL SWITCH



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Information Disclosure Citation (PTO-1449) (Page 1)

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Docket No.

**UC97-157-7**

Serial No.

**09/813,446**

Filing Date

**MARCH 20, 2001**

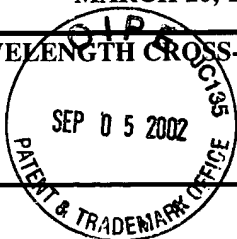
Examiner

**LEE, JOHN D.**

Group Art Unit

**2874**

Invention:

**MULTI-WAVELENGTH CROSS-CONNECT OPTICAL SWITCH**

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Citations (3)

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(Date)

Jerry V. King

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Applicant(s): **OLAV SOLGAARD ET AL.**

UC97-157-7

**09/813,446**

**MARCH 20, 2001**

**LEE, JOHN D.**

2874

Invention: **MULTI-WAVELENGTH CROSS-CONNECT OPTICAL SWITCH**

I hereby certify that the following correspondence:

**Statement under 37 CFR 1.97(e) Accompanying Information Disclosure Statement (Page 1)**

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**(Date)**

**Jerry V. King**

(Typed or Printed Name of Person Mailing Correspondence)

(Signature of Person Mailing Correspondence)

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**STATEMENT UNDER 37 CFR 1.97(e) ACCOMPANYING  
INFORMATION DISCLOSURE STATEMENT**

Docket No.  
UC97-156-7

In Re Application Of: OLAV SOLGAARD ET AL.

SEP 05 2002

Serial No.  
09/813,446

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MARCH 20, 2001

Examiner  
LEE, JOHN D.

Group Art Unit  
2874

Invention: MULTI-WAVELENGTH CROSS-CONNECT OPTICAL SWITCH

TO THE ASSISTANT COMMISSIONER FOR PATENTS:

This is a statement under the provisions of 37 CFR 1.97(e) in the above-identified application.

Check applicable statement herebelow:

Statement Under 37 CFR 1.97(e)(1)

- ☐ Each item of information contained in the accompanying Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the Information Disclosure Statement.

Statement Under 37 CFR 1.97(e)(2)

- ☒ No item of information contained in the accompanying Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the undersigned person, after making reasonable inquiry, no item of information contained in the accompanying Information Disclosure Statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of the Information Disclosure Statement.

  
Signature

Dated: September 5, 2002

JOHN P. O'BANION, REG. NO. 33,201  
O'BANION & RITCHEY LLP  
400 CAPITOL MALL, SUITE 1550  
SACRAMENTO, CA 95814  
(916) 498-1010

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